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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/865,441	05/29/2001	Doug Grumann	10002687-1	3760

7590 01/26/2005
HEWLETT-PACKARD COMPANY
Intellectual Property Administration
P.O. Box 272400
Fort Collins, CO 80527-2400

EXAMINER

YIGDALL, MICHAEL J

ART UNIT	PAPER NUMBER
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2122

DATE MAILED: 01/26/2005

Please find below and/or attached an Office communication concerning this application or proceeding.

Office Action Summary

Application No.

09/865,441

Applicant(s)

GRUMANN, DOUG

Examiner

Michael J. Yigdal

Art Unit

2122

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

Status

- 1) ☒ Responsive to communication(s) filed on 25 October 2004.
- 2a) ☒ This action is **FINAL**. 2b) ☐ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

Disposition of Claims

- 4) ☒ Claim(s) 1-20 is/are pending in the application.
- 4a) Of the above claim(s) _____ is/are withdrawn from consideration.
- 5) ☐ Claim(s) _____ is/are allowed.
- 6) ☒ Claim(s) 1-20 is/are rejected.
- 7) ☐ Claim(s) _____ is/are objected to.
- 8) ☐ Claim(s) _____ are subject to restriction and/or election requirement.

Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on _____ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

Priority under 35 U.S.C. § 119

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some * c) ☐ None of:
1. ☐ Certified copies of the priority documents have been received.
 2. ☐ Certified copies of the priority documents have been received in Application No. _____.
 3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

* See the attached detailed Office action for a list of the certified copies not received.

Attachment(s)

- | | |
|---|---|
| 1) <input checked="" type="checkbox"/> Notice of References Cited (PTO-892) | 4) <input type="checkbox"/> Interview Summary (PTO-413) |
| 2) <input type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948) | Paper No(s)/Mail Date. _____ |
| 3) <input type="checkbox"/> Information Disclosure Statement(s) (PTO-1449 or PTO/SB/08) | 5) <input type="checkbox"/> Notice of Informal Patent Application (PTO-152) |
| Paper No(s)/Mail Date _____ | 6) <input type="checkbox"/> Other: _____ |

DETAILED ACTION

1. Applicant's response and amendment filed on October 25, 2004 has been fully considered. Claims 1-20 are pending.

Response to Arguments

2. Applicant's arguments have been considered but are moot in view of the new ground(s) of rejection, as presented below with reference to Barritz and Kutcher.

3. Applicant contends that the apparatus of Barritz is at no time restarted to engage the monitoring program 22 or any other part of the apparatus (Applicant's remarks, page 5).

However, the claim recites, "restarting the performance management software to engage the configuration of the performance management tools." The plain language of the claim does not exclude the teachings of Barritz. Specifically, Barritz discloses starting or restarting the reporting program and subsequently engaging the configuration (see, for example, FIG. 6, which shows engaging the configuration at step 310 each time the reporting program is started or restarted at step 300).

4. Applicant alleges that the Office action confuses the act of recording information related to a software module with the separate and distinct act of flagging application programs and performance monitoring tools to indicate an active status (Applicant's remarks, page 6).

However, the information that is recorded by Barritz includes an indication of whether a program is loaded from a library or is resident (see, for example, column 6, lines 58-65). An indication of whether a program is loaded from a library or is resident is considered to be an indication of the program's "active status," or in other words, a flag indicating the program's

Art Unit: 2122

active status. This is consistent with *The IEEE Standard Dictionary of Electrical and Electronics Terms*, as provided by Applicant, which shows that a flag may be considered to be an indicator or a signal of some condition (see Applicant's attachment).

Claim Rejections - 35 USC § 103

5. The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

6. Claims 1-20 are rejected under 35 U.S.C. 103(a) as being unpatentable over U.S. Pat. No. 5,590,056 to Barritz (art of record, "Barritz") in view of U.S. Pat. No. 6,301,615 to Kutcher (art made of record, "Kutcher").

With respect to claim 1 (currently amended), Barritz discloses a method for automatically configuring performance management software in a computer system (see, for example, the abstract), comprising:

(a) inventorying applications (see, for example, column 9, lines 23-27, which shows a surveying program 12 for inventorying executable files or applications);

(b) generating an inventory list of the applications (see, for example, column 9, lines 27-33, which shows generating a system configuration log 66 or inventory list of the applications).

Although the monitoring and reporting programs disclosed by Barritz (see, for example, monitoring program 22 and reporting program 60 in FIG. 1) and other such performance

Art Unit: 2122

management tools are inherently executable files, Barritz is silent as to whether any of the executable files included in the inventory are performance management tools.

However, Kutcher discloses a method for configuring performance management software (see, for example, column 10, lines 23-43) based on a plurality of preexisting performance management tools (see, for example, column 2, lines 30-34 and column 4, lines 26-30). Kutcher further discloses listening for or inventorying newly started performance management tools, so as to include the additional tools in the configuration (see, for example, column 10, line 64 to column 11, line 11). By leveraging the performance management tools provided by the operating system, the need for updates due to changes in the operating system is reduced (see, for example, column 4, lines 38-52).

One of ordinary skill in the art would have been motivated to apply the method of Barritz to a plurality of preexisting performance management tools, such as taught by Kutcher. For example, Barritz discloses that different operating systems provide different mechanisms by which monitoring program 22 can “see” events (see, for example, column 7, lines 51-55). In view of Kutcher, a plurality of such monitoring programs would be provided for the different mechanisms provided by the different operating systems. Therefore, it would have been obvious to one of ordinary skill in the art at the time the invention was made to include the performance management tools in the inventory.

Although Barritz also discloses that the inventory provides system configuration information to the reporting program 60 (see, for example, column 8, lines 36-42), and thus the system configuration log 66 is considered to be a performance management tools configuration, Barritz does not expressly disclose:

Art Unit: 2122

(c) using the inventory list, generating a performance management tools configuration comprising specifying one or more of application-specific interfaces, performance thresholds, and alarms applicable to specific performance management tools.

However, Kutcher further discloses that the configuration includes filters (see, for example, column 10, lines 23-43), which are application-specific interfaces for each performance management tool (see, for example, column 8, lines 43-48). The filters or interfaces enable the use of performance management tools that have disparate output formats (see, for example, column 5, lines 22-26 and column 6, lines 10-14).

It would have been obvious to one of ordinary skill in the art at the time the invention was made to supplement the configuration generated by Barritz with one or more of application-specific interfaces, performance thresholds, and alarms applicable to specific performance management tools, such as the application-specific interfaces taught by Kutcher. The modification would enable the use of a plurality of preexisting performance management tools that have disparate output formats.

Moreover, Barritz also discloses that the monitoring program 22 may be configured to monitor whether the licensed number of users has been exceeded and to issue a warning message (see, for example, column 10, line 50 to column 11, line 3). The number of concurrent users permitted and the warning message are considered to be a performance threshold and an alarm, respectively. It would have been obvious to one of ordinary skill in the art at the time the invention was made to include the performance threshold and alarm in the in the configuration.

Barritz also discloses:

(d) restarting the performance management software to engage the configuration of the performance management tools (see, for example, FIG. 6, which shows engaging the configuration at step 310 each time the reporting program is started or restarted at step 300).

With respect to claim 2 (original), Barritz also discloses the limitation wherein the method is executed upon start up of the computer system (see, for example, column 4, lines 53-56, which shows executing the method when it is first introduced on a computer system, i.e. upon start up of the computer system).

With respect to claim 3 (original), Barritz also discloses the limitation wherein the method is executed on demand (see, for example, column 4, lines 50-53, which shows executing the method by an operator or interactive user, i.e. on demand).

With respect to claim 4 (original), Barritz also discloses the limitation wherein the method is executed periodically (see, for example, column 4, lines 50-53, which shows executing the method periodically).

With respect to claim 5 (original), Barritz also discloses the limitation wherein the method is executed automatically (see, for example, column 4, lines 50-53, which shows executing the method by another program, i.e. automatically).

With respect to claim 6 (original), although Barritz discloses writing the inventory such that the information can be displayed and manipulated by well-known programs (see, for example, column 9, lines 34-40), Barritz does not expressly disclose the limitation wherein the step of generating the inventory list comprises writing inventory information to an ASCII-format

file. However, it would have been obvious to one of ordinary skill in the art at the time the invention was made to provide the inventory of Barritz as an ASCII-format file, so as to further ensure that the information can be displayed and manipulated by well-known programs.

With respect to claim 7 (currently amended), Barritz also discloses the limitation wherein the step of generating the configuration file further comprises specifying one or more collection parameters (see, for example, column 6, lines 37-43, which shows specifying collection parameters such as volume name and product ID in the system configuration log).

With respect to claim 8 (original), Barritz also discloses the limitation wherein the inventory step comprises inventorying installed application programs and installed performance management tools (see, for example, column 9, lines 27-29, which shows surveying or inventorying products installed on the computer system).

With respect to claim 9 (original), Barritz further discloses inventorying active application programs and active performance management tools, wherein the active application programs and performance management tools are flagged to indicate an active status (see, for example, column 6, lines 58-65, which shows recording or inventorying active programs and an indication of whether the program is loaded from a library or is resident, i.e. an indication of the active status or a flag indicating the active status).

With respect to claim 10 (original), Barritz also discloses:

(a) manually amending the inventory list (see, for example, column 11, lines 16-25, which shows manually amending the inventory); and

(b) repeating the step of generating the performance management tools configuration (see, for example, column 11, line 63 to column 12, line 4, which shows repeating the step of generating the system configuration log).

With respect to claim 11 (original), Barritz also discloses storing the inventory list and the performance management tools configuration in a memory (see, for example, column 5, lines 35-40, which shows storing the system configuration log in memory).

With respect to claims 12-18, the claims recite an apparatus that corresponds to the method recited in claims 1, 2, 4-6 and 8-10 (see Barritz and Kutcher as applied to claims 1, 2, 4-6 and 8-10 above).

With respect to claims 19 and 20, the claims recite a method that corresponds to the method recited in claims 1 and 8-10 (see Barritz and Hellerstein as applied to claims 1 and 8-10 above).

Conclusion

7. The prior art made of record and not relied upon is considered pertinent to Applicant's disclosure. U.S. Pat. No. 6,675,128 to Hellerstein discloses methods and apparatus for performance management using self-adjusting model-based policies.


8. Applicant's amendment necessitated the new ground(s) of rejection presented in this Office action. Accordingly, **THIS ACTION IS MADE FINAL**. See MPEP § 706.07(a). Applicant is reminded of the extension of time policy as set forth in 37 CFR 1.136(a).

A shortened statutory period for reply to this final action is set to expire THREE MONTHS from the mailing date of this action. In the event a first reply is filed within TWO MONTHS of the mailing date of this final action and the advisory action is not mailed until after the end of the THREE-MONTH shortened statutory period, then the shortened statutory period will expire on the date the advisory action is mailed, and any extension fee pursuant to 37 CFR 1.136(a) will be calculated from the mailing date of the advisory action. In no event, however, will the statutory period for reply expire later than SIX MONTHS from the date of this final action.

9. Any inquiry concerning this communication or earlier communications from the examiner should be directed to Michael J. Yigdall whose telephone number is (571) 272-3707. The examiner can normally be reached on Monday through Friday from 7:30am to 4:00pm.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Tuan Q. Dam can be reached on (571) 272-3695. The fax phone number for the organization where this application or proceeding is assigned is 703-872-9306.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free).


TUAN DAM
SUPERVISORY PATENT EXAMINER

Application/Control Number: 09/865,441

Page 10

Art Unit: 2122

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Michael J. Yigdall
Examiner
Art Unit 2122

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